

*Herrero v. Standard Chartered Bank International (Americas) Limited, et al., 1:11-cv-03553-VM*  
Master File No. 1:09-cv-00118-VM-THK

UNITED STATES DISTRICT COURT  
SOUTHERN DISTRICT OF NEW YORK

PASHA ANWAR, *et al.*,

Plaintiffs,

v.

FAIRFIELD GREENWICH LIMITED, *et al.*,

Defendants.

This document relates to:

*Joaquina Teresa Barbachano Herrero v. Standard Chartered Bank International (Americas) Limited and Standard Chartered PLC, 1:11-cv-03553-VM*

Master File No. 1:09-cv-00118-VM-THK  
ECF CASE

**NOTICE OF FILING CORRECTED EXHIBITS**

Plaintiff, JOAQUINA TERESA BARBACHANO HERRERO (“Barbachano”), by and through undersigned counsel, hereby gives Notice of Filing corrected Exhibits F and G to the proposed Amended Complaint against Defendants, STANDARD CHARTERED BANK INTERNATIONAL (AMERICAS) LIMITED and STANDARD CHARTERED PLC (collectively, the “Defendants”), which proposed Amended Complaint was previously submitted to the Court in connection with Barbachano’s pending letter request for leave to amend the Complaint, dated October 3, 2012.

Respectfully submitted,

By: /s/ H. Eugene Lindsey III, Esq.  
H. Eugene Lindsey III  
Florida Bar No. 130338  
New York Bar No. 2421923  
[hel@katzbarron.com](mailto:hel@katzbarron.com)  
KATZ BARRON SQUITERO FAUST  
2699 S. Bayshore Drive, 7<sup>th</sup> Floor  
Miami, Florida 33133-5408  
Telephone: (305) 856-2444  
Facsimile: (305) 285-9227  
*Attorneys for Plaintiff*

*Herrero v. Standard Chartered Bank International (Americas) Limited, et al., 1:11-cv-03553-VM*  
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**CERTIFICATE OF SERVICE**

WE HEREBY CERTIFY that on October 9, 2012, we electronically filed the foregoing document with the Clerk of the Court using CM/ECF and by PDF/email attachment, on:

SULLIVAN & CROMWELL LLP  
New York, New York

Patrick B. Berarducci - [berarduccip@sullcrom.com](mailto:berarduccip@sullcrom.com)

*Attorneys for Standard Chartered Bank  
International (Americas) Limited and Standard  
Chartered PLC*

CURRAN & ASSOCIATES  
Miami, Florida

Laurence E. Curran, III [lecurran@lecurran.com](mailto:lecurran@lecurran.com)

*Plaintiffs Steering Committee Member*

AGUIRE, MORRIS & SEVERSON LLP  
San Diego, California

Michael J. Aguire [maguirre@amslawyers.com](mailto:maguirre@amslawyers.com)  
Maria C. Severson [mseverson@amslawyers.com](mailto:mseverson@amslawyers.com)

*Plaintiffs Steering Committee Member*

THE BRODSKY LAW FIRM  
Miami, Florida

Richard Brodksy  
[rbrodsky@thebrodskylawfirm.com](mailto:rbrodsky@thebrodskylawfirm.com)

*Plaintiffs Steering Committee Liaison*

RIVERO MESTRE LLP  
Miami, Florida

Jorge A. Mestre [jmestre@rmc-attorneys.com](mailto:jmestre@rmc-attorneys.com)

*Plaintiffs Steering Committee Member*

KATZ BARRON SQUITERO FAUST  
Attorneys for Plaintiff  
2699 S. Bayshore Drive, 7<sup>th</sup> Floor  
Miami, FL 33133  
Telephone: 305-856-2444  
Facsimile: 305-285-9227

By: /s/ H. Eugene Lindsey III, Esq.  
H. Eugene Lindsey III, Esq.

Client: Client Number - Portfolio 4652-1

Exhibit 10

1 of 3

**Asset Allocation analysis:****June 2006:**

<b>Position</b>	<b>Type</b>	<b>Amount</b>	<b>Cash</b>	<b>Bonds</b>	<b>Equities</b>	<b>Alt</b>
Cash	Cash	1,336,066	1,336,066			
Calyon Fin Products (Guernsey) Ltd	Bonds	202,219		202,219		
Amer Express Emerging Mkt Debt	MF	70,357		70,357		
Amer Express GL EM Mkt Short TM Bonds	MF	319,456		319,456		
Signature Portfolios - Global Equities	Portfolio	1,744,723			1,744,723	
Discretionary Traditional Global Moderate	Portfolio	989,984		887,994	581,990	
Amer Express Alt Inv Fund - Global Mkt Neutral	Alt	295,378				295,378
Permal FX Financials & Futures Ltd	Alt	404,377				404,377
Fairfield Sentry Ltd	Alt	454,010				454,010
<b>Totals</b>		<b>5,786,572</b>	<b>1,338,066</b>	<b>980,027</b>	<b>2,326,714</b>	<b>1,153,766</b>
<b>Asset Allocation percentages - June 2006</b>			<b>23%</b>	<b>17%</b>	<b>40%</b>	<b>20%</b>
			<b>40%</b>		<b>60%</b>	

**December 2007:**

<b>Position</b>	<b>Type</b>	<b>Amount</b>	<b>Cash</b>	<b>Bonds</b>	<b>Equities</b>	<b>Alt</b>
Cash	Cash	2,985	2,985			
Discretionary Dynamic Global Asset Allocation	Portfolio	276,896	2,769	74,762	185,520	13,845
Signature Portfolios - Global Equities	Portfolio	2,721,945			2,721,945	
Discretionary Traditional Global Moderate	Portfolio	1,316,979		526,792	790,188	
Permal Fixed Income Holdings	Alt	280,248				280,248
Permal Fixed Income Special Opportunities	Alt	530,887				530,887
Permal FX Financials & Futures Ltd	Alt	458,814				458,814
Fairfield Sentry Ltd	Alt	955,802				955,802
<b>Totals</b>		<b>6,544,555</b>	<b>5,754</b>	<b>601,554</b>	<b>3,697,653</b>	<b>2,239,595</b>
<b>Asset Allocation percentages - December 2007</b>			<b>0%</b>	<b>9%</b>	<b>57%</b>	<b>34%</b>
			<b>9%</b>		<b>91%</b>	



Client: Client Number - Portfolio 4852-1

Exhibit 10

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June 2008:

Position	Type	Amount	Cash	Bonds	Equities	Alt
Cash	Cash	25,215	25,215			
Amer Express GL EM Mkt Absolute Return	MF	148,752		74,376	74,376	
Signature Portfolios - Global Equities	Portfolio	2,705,216			2,705,216	
Discretionary Dynamic Global Asset Allocation	Portfolio	411,322	4,113	111,057	275,696	20,566
Discretionary Traditional Global Moderate	Portfolio	1,271,677		508,671	763,006	
Permal Fixed Income Holdings	Alt	279,686				279,686
Permal FX Financials & Futures Ltd	Alt	482,860				482,860
Fairfield Sentry Ltd	Alt	983,300				983,300
Totals		6,308,028	28,329	694,104	3,818,184	1,766,412
Asset Allocation percentages - June 2008				0% 11%	11% 61%	28% 89%

September 2008:

Position	Type	Amount	Cash	Bonds	Equities	Alt
Cash	Cash	15,281	15,281			
Amer Express GL EM Mkt Absolute Return	MF	115,544		57,772	57,772	
Signature Portfolios - Global Equities	Portfolio	2,418,745			2,418,745	
Discretionary Dynamic Global Asset Allocation	Portfolio	370,694	3,707	100,087	248,365	18,535
Discretionary Traditional Global Moderate	Portfolio	1,150,489		460,196	690,293	
Permal Fixed Income Holdings	Alt	268,672				268,672
Permal Macro Holdings Ltd	Alt	454,693				454,693
Fairfield Sentry Ltd	Alt	996,796				996,796
Totals		5,790,913	18,988	618,055	3,415,175	1,738,696
Asset Allocation percentages - September 2008				0% 11%	11% 59%	28% 89%

Client: Client Number - Portfolio 4862-1

Exhibit 10

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December 2008:

Position	Type	Amount	Cash	Bonds	Equities	Alt
Cash	Cash	1,011,691	1,011,691			
World Express GL EM Mkt Absolute Return	MF	42,511		21,256	21,256	
Signature Portfolios - Global Equities	Portfolio	1,874,904			1,874,904	
Discretionary Dynamic Global Asset Allocation	Portfolio	302,243	3,022	81,605	202,503	15,112
Discretionary Traditional Global Moderate	Portfolio	7,963		3,185	4,778	
Permal Fixed Income Holdings	Alt	229,010				229,010
Permal Macro Holdings Ltd	Alt	435,468				435,468
Fairfield Sentry Ltd	Alt	7				7
<b>Totals</b>		<b>3,903,796</b>	<b>1,014,713</b>	<b>106,046</b>	<b>2,103,440</b>	<b>679,597</b>
<b>Asset Allocation percentages - December 2008</b>			26%	3%	64%	17%
			29%		71%	

September 2009:

Position	Type	Amount	Cash	Bonds	Equities	Alt
Cash	Cash	510,359	510,359			
Amer Express GL EM Mkt Absolute Return	MF	5,269		2,635	2,635	
Signature Portfolios - Global Equities	Portfolio	2,395,803			2,395,803	
Signature Portfolios - US Multi Sector Fixed Inc	Portfolio	1,076,899		1,076,899		
Discretionary Dynamic Global Asset Allocation	Portfolio	636,430	6,364	146,379	483,687	
<b>Totals</b>		<b>4,624,760</b>	<b>516,724</b>	<b>1,225,913</b>	<b>2,882,124</b>	<b>0</b>
<b>Asset Allocation percentages - September 2009</b>			11%	27%	62%	0%
			38%		62%	



## Investment Proposal for 4652

Relationship Manager: Jose Del Vecchio  
Investment Specialist: John Dutkowsky

October 2009



## Asset Allocation

Asset Class	Amount (\$)	Current Allocation (%)	Products	Proposed Allocation (%)	Amount (\$)
			Demand		
Cash or Near Cash	\$ 510,480	11.4%		0.4%	\$ 16,132
Fixed Income	\$ 1,063,907	0.0%	PIMCO Global Bonds	36.16%	\$ 37,900
Equity	\$ 2,295,652	51.2%	SIG US Multi Sector Fixed Income	23.7%	\$ 51,663,907
Mutual Assets	\$ 609,776	13.6%	Sigin Global Equities	24.3%	\$ 14,633,907
Absolute Return	\$ 5,123	0.1%	Dynamic Global Asset Alloc.	13.6%	\$ 1,090,000
Total Assets	\$ 4,484,939	100.0%	GBLEM Absolute Return	0.1%	\$ 609,776
			Total	100.0%	\$ 5,123
					\$ 4,484,939

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